

Safety, Reliability, and Quality Assurance Process for Contract Surveillance

NT/Flight Equipment Division

**March 18, 2003
Revision B**

Verify that this is the correct version before use



**National Aeronautics and
Space Administration**

**Lyndon B. Johnson Space Center
Houston, Texas**

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Safety, Reliability, and Quality Assurance Process for Contract Surveillance

March 18, 2003

Approved by

Original Signed by
David F. Thelen, Chief
Flight Equipment Division

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Change Record

Revision	Date	Originator/Phone	Description
Baseline	01/07/2000	Pedro Rivera 281-244-5299	Baseline Release
ADM-011 Baseline	7/26/2000	NT MLC	Baseline Release <ul style="list-style-type: none"> This procedure replaces the previous NT Work instruction for this task and has been numbered as such. (See the <i>NT Handbooks Procedure Numbering Matrix</i> for more information: http://www.srqa.jsc.nasa.gov/iso9000/nt/Numbering-Matrix) Note: Technical changes have not been made during this data restructure unless otherwise noted in this change record.
PCN-1	01/15/2001	NT MLC	<ul style="list-style-type: none"> Removed from handbook configuration and returned to individual UWI template. Branch removed from WI number for portability.
A	06/01/2001	Pedro Rivera 281-244-5299	Complete re-write. Revision bars not used. <ul style="list-style-type: none"> The SR&QA Process for Contract Surveillance template is available from the NT4 Web page.
PCN-1	08/07/2001	NT MLC	Editorial Changes: <ul style="list-style-type: none"> Corrected date on signature page. Changed "Procedure" to "Document" in page header. Section 10.1.c <ul style="list-style-type: none"> Added link to the NT home page
B	03/18/2003	Pedro Rivera 281-280-2060	Rewrite: Combined the S&MA and Occupational Safety information. Clarification so task can be tailored to the contractor as appropriate.

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1 PURPOSE

This procedure is to provide guidance and direction for SR&QA personnel assigned to perform risk based contract surveillance. This procedure defines the process to obtain data using insight, oversight or a hybrid methods to evaluate the contractor, identify emerging risks and determine if contract performance is acceptable.

2 SCOPE

NASA SR&QA performs surveillance of Johnson Space Center contractors' processes to assess and assure contractor performance to safety, product and technical requirements. SR&QA provides the customer insight to these processes and when necessary, request contractor corrective action.

3 DEFINITIONS, ACRONYMS, and TERMS

Customer: Contracting Officer (CO), CO Technical Representative (COTR), Technical Management Representative (TMR), program/project offices, engineering and SR&QA managers.

Government Mandatory Inspection Points (GMIPs): Specific points during a process when an inspection by a Government representative (i.e. SR&QA support contractors, DCMA) is required before the process can proceed. GMIPs are identified by the Government representatives to mitigate safety, mission, cost, or schedule risk to the Government by assuring contractor compliance to requirements or verifying that specific actions have occurred. They are not a substitute for contractor inspections and should not be used in place of needed corrective action. As a minimum, they are used for the following purposes:

- Measure control of processes
- Ensure that critical characteristics of end items meet specifications
- Verify the implementation of corrective action
- Verify incorporation and effectiveness of major changes in processes or products

The terms NASA SR&QA Monitor and NASA QAR are interchangeable. Contractor and other Government agencies shall be referred as DCMA QAR, SAIC, WGI, etc.

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Hybrid: A hybrid surveillance approach combines elements of insight and oversight and may be instituted at a contractor's facility when a high level of confidence does not exist regarding the contractor's ability to identify, manage and control programmatic risks. This may occur when new technology is acquired or a contractor employs unproven processes. In this situation, oversight surveillance is used until sufficient data exist that demonstrate the contractor has all critical processes under control. The oversight activities usually impose GMIPs in-series with the contractor's manufacturing processes. Only after the contractor's demonstration of risk mitigation capabilities will NASA consider transitioning to insight activities that rely predominantly on internal contractor data. The transition period from oversight to insight activities is hybrid and accomplished incrementally, depending on contractor performance.

Insight: Insight is an assurance process that uses product performance requirements and performance metrics to ensure process capability, product quality and end-item effectiveness. Insight relies on gathering a minimum set of product or process data that provides adequate visibility into the integrity of the product or process. The data may be acquired from contractor records, usually in a non-intrusive parallel method.

- Insight as applied to a contract will result in lower levels of Government surveillance and allow the contractor to assume increased responsibility and accountability for the integrity of processes.
- Insight will rely heavily on evaluating planned contract deliverables and existing contractor procedures and working documents.

Oversight: Oversight is an assurance process that uses customer-imposed product specification and process controls, such as Govt. Specifications, Govt. Standards and mandatory inspections, to direct the development and production of the product. Oversight is intrusive in that it requires gathering contractor product or process data through on-site, in-series involvement in the process. Oversight entails very detailed monitoring of the process itself. Oversight is an in-line involvement in an activity, principally through inspection, with review and approval authority implicit to the degree necessary to assure that a process or product's key characteristics are stable and in control. Government Mandatory Inspection Points (GMIPs) will be determined primarily by NASA SR&QA.

Q-REX: An internal Flight Equipment Division database used to supplement the on-going SR&QA contract surveillance activities. Q-REX has a wide variety of capabilities to include:

- Documenting all surveillance activities (processes, schedules, risk ratings, etc.)
- Providing data for trend analysis
- Serving as a consolidated system for storage of historical surveillance data
- Providing management with the status of the health of a contractor's processes and quality systems
- Documenting and tracking contractor Corrective Actions

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4. QUALITY RECORDS AND FORMS

4.1 Quality Records

- SR&QA Contract Surveillance Plan
- Monthly Risk Assessment Stoplight Charts

4.2 Other Records and Forms

None

5 SAFETY PRECAUTIONS AND WARNING NOTES

None

6 REFERENCES

JSC Procurement Instruction (JPI) PART 46, Quality Assurance
NPG 8735.2, Management of Government Safety and Mission Assurance Surveillance Functions for NASA Contracts
NPG 8000.4, Risk Management Procedures and Guidelines

7. TOOLS, EQUIPMENT, AND MATERIALS

SR&QA Contract Surveillance Database (Q-REX)

8 PERSONNEL TRAINING AND CERTIFICATION

Contracting Officer's Technical Representative (COTR) Course
Performance Based Contracting and Risk Based Surveillance

9 RESPONSIBILITIES

SR&QA Contract Surveillance

The Flight Equipment Division (FED) will review procurement documents to determine the need for contract SR&QA surveillance. The FED will determine the need to assign NASA SR&QA monitors. A listing will be available in the NT homepage. The NASA SR&QA monitor may delegate specific responsibilities to support contractors and other government agencies. When required, the NASA SR&QA monitor may provide input to contractor performance evaluations. It is the responsibility of the NASA SR&QA monitor to perform contract risk assessments for contractor SR&QA activities in support of the customers.

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Risk Management

SR&QA monitors are responsible for the following risk management processes:

- *Risk Planning (Appendix A, Developing a surveillance risk management strategy)*
 - identifying customer requirements
 - identifying contract deficiencies
 - Identifying key processes and documenting rationale (ref. Appendix B, Sample of contractor key processes)
- *Risk Assessment (Assigning risk ratings, see appendix C, Sample of risk determination)*
- *Risk Handling (see Appendix E, Sample of level of penetration)*
 - performing SR&QA system evaluations (where applicable)
 - developing and maintaining contract surveillance plans for risk handling
 - prioritizing work based on risk classifications
 - conducting product audits
 - selecting risk handling methods
 - process proofing/assessments
 - performing/documenting surveillance (including assessing/re-assessing) per surveillance plan
 - analyzing data
- *Risk Monitoring*
 - evaluating supplier performance
 - lab testing
 - requesting and following-up on corrective actions
 - considering and requesting surveillance (i.e. Government Source Inspection) at the subcontract level
 - compliance with SR&QA Surveillance Database reporting requirements
 - adjusting surveillance plan frequency/intensity based on documented analysis and contracts changes

Risk Documentation (Surveillance records)

- authorizing and accepting shipments
- approving safety & mission assurance products
- approving certification products, type 1 data submittal, Material Review Board (MRB) dispositions, drawings, etc.
- developing monthly spotlight chart (see Appendix D, Sample monthly risk assessment stop-light chart) by the 10th working day of the month
- maintain record retention (process assessments, Weekly Activity Reports, NASA audits, CARs (ref. Appendix F, NASA FED Corrective Action Process) performance appraisals, etc), when it cannot be entered into Q-REX. Electronic reporting and storage is preferred. Q-REX shall be the primary repository of SR&QA assessments and evaluations
- request contractor self-assessments
- providing performance evaluation inputs
- reviewing subcontractor Government Source Inspection (GSI) reports

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*Where necessary, monitors may enlist the help of others (contractors, other govt. agencies) in performing these evaluations. NOTE: Risk assessment evaluations are the sole responsibility of the NASA SR&QA monitor. Any conflict between NASA and delegated agencies, the assigned NASA SR&QA direction will take precedence. Data calls will be reviewed and approved by the NASA QAR prior to submittal.

10 PROCEDURE

10.1 General Surveillance Activities

The SR&QA monitor will consider the following activities as part of their surveillance of the contractor:

- a. attend internal project meetings, safety briefings, technical interchange and staff meetings
- b. review progress reports such as internal memos, accident/injury reports, activity reports, post-test reports, corrective action, out-of-family notifications, problem summaries.
- c. Perform "factory floor" walk around; discuss project and safety status with company employees on non-interference basis
- d. Check for proper flowdown of engineering planning and use of current and formal worksheets/instructions by operators
- e. Monitor for presence of contractor engineering on factory floor, Material Review Board, and Corrective Action Board
- f. Observe the contractor's priorities: Schedule? Cost/profit? Safety? Contract performance? What indicators are tracked?
- g. Observe if functional departments are integrated routinely to each other (for example, engineering with quality assurance, manufacturing, logistics, occupational safety, flight safety & mission assurance)
- h. Perform Government Mandatory Inspections (GMIPs), when required
- i. Review and approve engineering design changes and waiver/deviations, as authorized
- j. Review and approve Material Review Board (MRB) recommended dispositions with the following exceptions: The monitor shall receive the approval of the cognizant JSC SR&QA design function prior to approving MRBs dispositions impacting design, hazardous testing, configuration or certification (USA-AS-IS, REPAIR, WAIVER, downgrade to class 2 for qualification, certification or hazardous testing)
- k. Monitor Physical Configuration Audits (PCAs) and Functional Configuration Audits (FCAs)
- l. Conduct evaluations, assessments and audits of specific contractor operations
- m. Review specific contractor-prepared plans, procedures, drawings, etc
- n. Recommend approval of Type 1 SR&QA contractual deliverables

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10.2 Developing the SR&QA Surveillance Plan

The level of detail will vary depending on the contractor, complexity, and criticality of flight, flight-like hardware, Ground Support Equipment (GSE) or facility. NOTE: This plan supports but does not supersede the customer's contract surveillance plan. As a minimum, all plans must include the following:

- a. Summary of strategy for getting customer input on risk handling planning (may be discontinued if customers are repeatedly non-responsive)
- b. List of key processes in each risk category, and supporting rationale (for both key process identification and risk level classifications)
- c. List of critical processes, program baselined hazard controls and CIL retention rationale processes/characteristics (if applicable)
- d. List of customer imposed mandatory surveillance tasks (if applicable)
- e. Surveillance techniques (e.g., product audits, data analysis, process proofing, re-proofing of revised processes) planned for each key process and mandatory/safety of flight/flight critical action, including scheduled sampling/frequency/intensity
- f. Process for performing or assisting others performing surveillance (if applicable)
- g. Schedule for proofing/re-proofing high risk key processes.
- h. Coordination with customers
- i. Approval by Chief, Flight Equipment Division

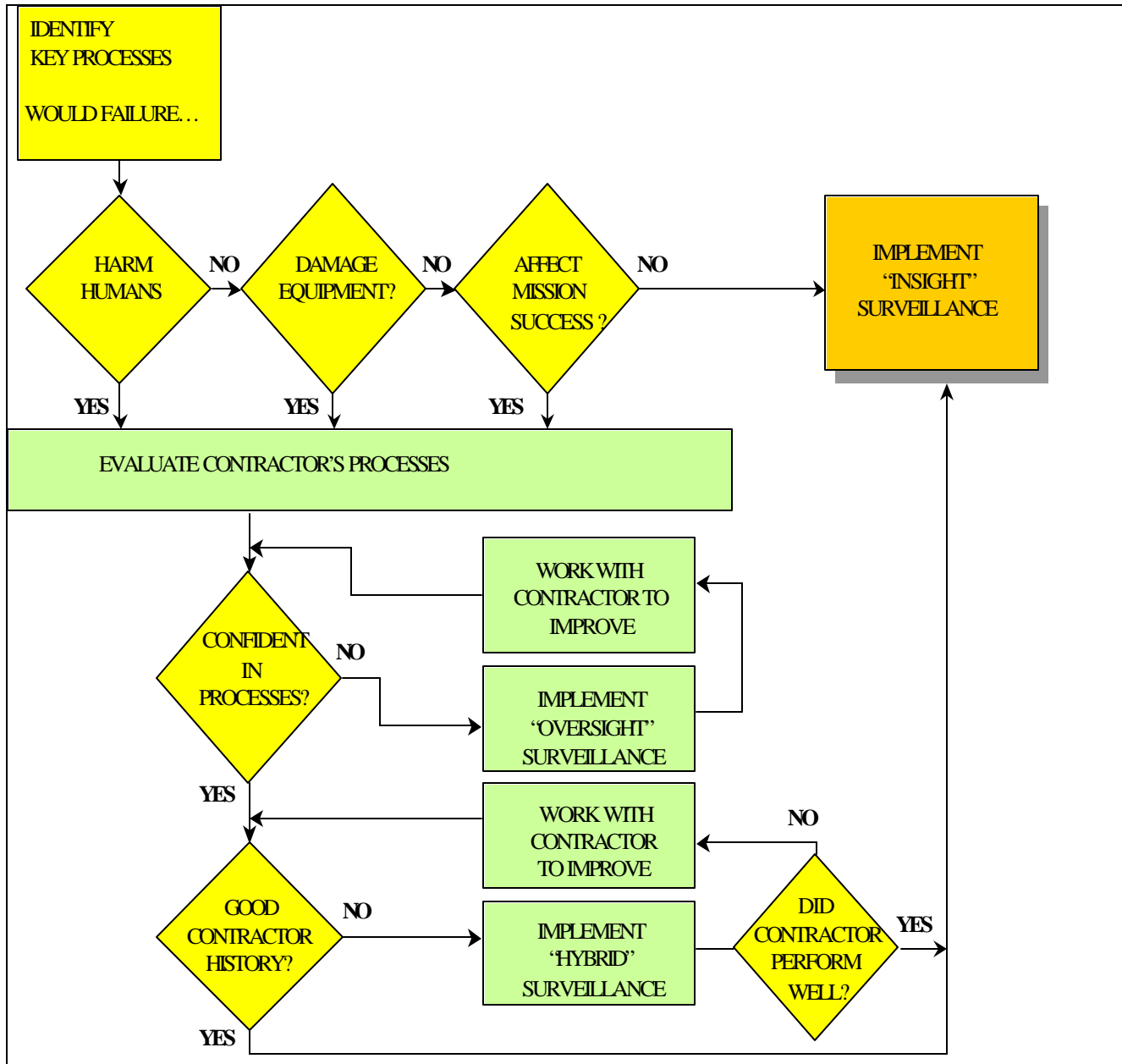
10.3 Phase-Out of NASA Oversight/Hybrid Activity

It is NASA's intent to maintain the JSC SR&QA oversight/hybrid role until it is demonstrated that process surveillance will suffice, because the contractor's comparable inspection has been proven adequate, or because the process is stable and capable to the extent that inspection is unnecessary. When a successful transition to insight has been completed, JSC SR&QA may continue to assist the customer in monitoring and assessing selected items, processes, or conditions that may increase risk.

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APPENDIX A

Developing a surveillance risk management strategy



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APPENDIX B: SAMPLE OF CONTRACTOR KEY PROCESSES

Consider the following key processes when developing their contractor surveillance activities. **This is not an all-inclusive list.** The SR&QA monitor should also assess the prime contractor flow down, control and validation of subtier suppliers of these key processes.

I. MANGEMENT RESPONSIBILITY

- Quality System
- Quality Planning
- Management Review/Assessment
- Customer Complaints
- Management Representative
- Document Control
- Records
- Customer focus/responsiveness
- Management commitment

II. MEASUREMENT, ANALYSIS & IMPROVEMENT

- Test & Inspection (when collecting statistical data)
- Corrective & Preventative Action
 - Problem Reporting and *Corrective Action* (PRACA)
- Statistical Techniques
- Nonconforming Product
 - Material Review Board
 - Standard Repair Procedures
 - *Problem Reporting* and Corrective Action

III. RESOURCE MANAGEMENT

- Training
- Internal Audits
- Occupational Safety Program
 - Voluntary Protection Program
 - Close call, Mishap/Incident Reporting
 - Safety-walk-thru's
 - Test safety
 - Hazard assessments/operations

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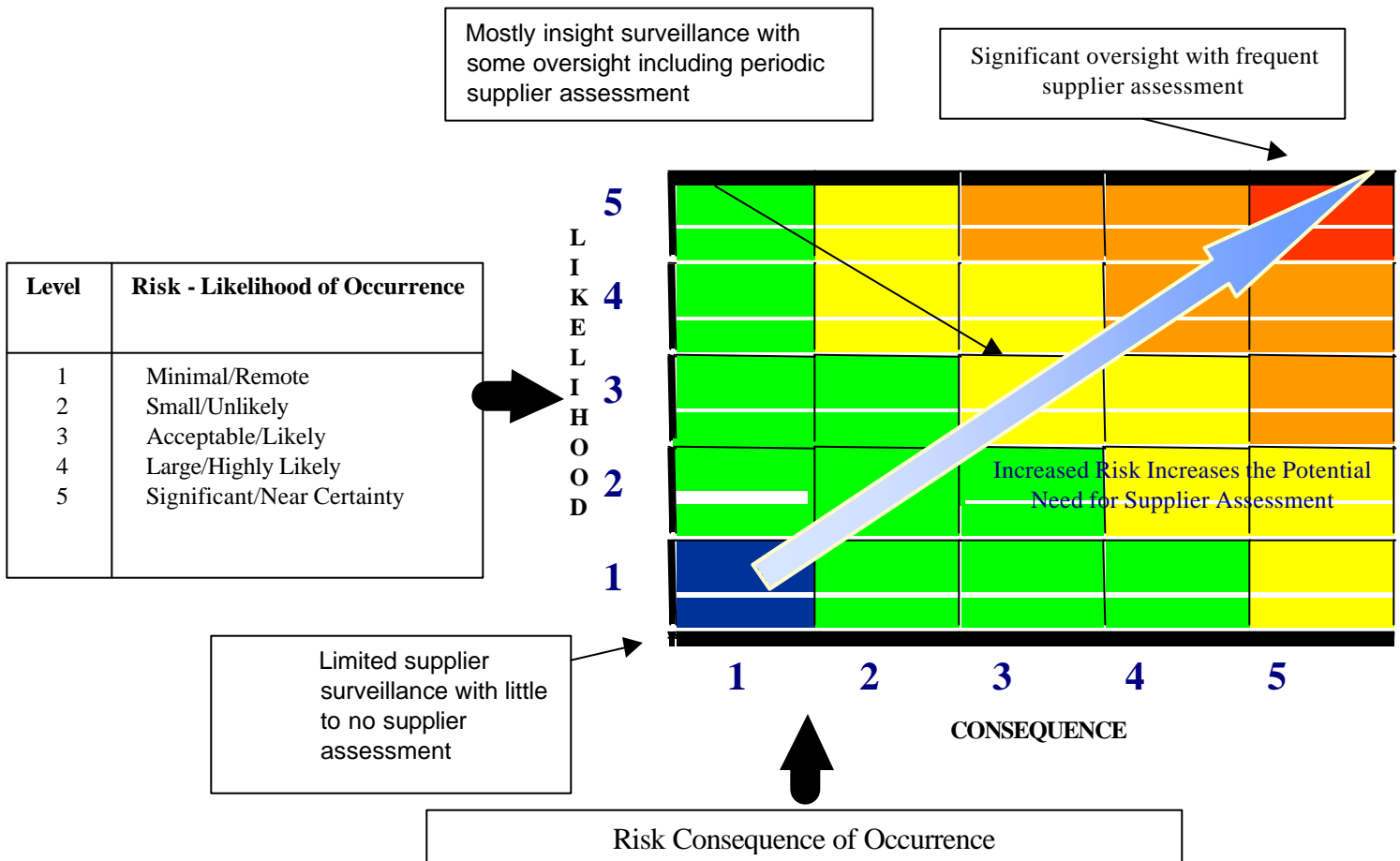
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IV. PRODUCT REALIZATION (Flight, Flight-Like hardware, software, facility and GSE)

- **Purchasing**
 - Requirements flowdown
 - Government Source Inspection
 - Contractor source inspection
 - Supplier audits
 - Vendor Rating System
- **Shipping, Receiving, Storage & Handling**
- **Traceability**
- **Metrology**
 - Calibration software, GSE and flight items
- **Test & Inspection**
 - Designated Verification (DV)
 - Software verification & validation
 - Test Readiness Reviews (TRRs)
 - Hazard Assessment/Analysis
 - Acceptance Testing (Pre-delivery, Pre-Installation, qualification, functional, etc)
- **Manufacturing/Fabrication Control**
 - Parts, EEE and mechanical control
 - Special processes – processes that require operator certification to NASA approved standards, Gases/fluids, pressure systems, Contamination Control, Electrical Static Discharge, Food handling...
- **Configuration Management**
 - Design, configuration & drawing control
 - Design Reviews
 - Alternate/equivalent parts
 - NASA requirements implementation
 - NASA Board support (Configuration Control Board, SMART, Safety, etc).
 - Certification, GEAR, Safety products, AR (S&MA)
 - FMEA/CIL and Hazard Control identification, control and implementation (S&MA)
 - Acceptance Data Package (ADP)
 - Flight, Mission, Rollout Readiness Reviews-Certification of Flight Readiness (COFR), (S&MA)
 - Critical processes identification, control and implementation
- **Mission/Training Event support**
 - MER/NBL/Simulators
 - Crew Procedures
 - Bench Reviews
 - KSC Reviews, testing/simulations (i.e. TCDT, CEIT)
 - Food processing

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APPENDIX C SAMPLE OF RISK DETERMINATION



Level	*Technical	Schedule
1	Minimal or no impact	Minimal or no impact
2	Acceptable, noncompliance to internal contractor requirements	Additional resources required; able to meet need dates
3	Acceptable, contract noncompliance to NASA requirements, no direct impact to mission, equipment or life	Minor slip in key milestone; not able to meet need dates
4	Unacceptable, facility, GSE, hardware damage or impact to mission success.	Major slip in key milestone or critical path impacted
5	Unacceptable, loss of life	Can't achieve key team or major program milestones

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A

APPENDIX D Sample Monthly Risk Assessment Stop-light Chart

Nov-02				
SR&QA Resident Mgt Office (RMO)-TBD (NASA), TBD (DCMA)				
Green	Process operating at a nominal level			
Yellow	Emerging Risk. Process exhibits weakness that may result in nonconformance or failure			
Red	Process has experienced a failure			
RISK ASSESSMENT				
Yellow: The contractor did not procure critical item from an approved vendor. Current Surveillance Method: Hybrid. Penetration Level: 2/Intermediate. Risk rating: 3/3				
KEY PROCESS	STATUS	PV	PV Due	COMMENTS
PRODUCT REALIZATION	Yellow	N/A	N/A	
PURCHASING	CAR XXX ECD Feb 03	Jul-02	Apr-03	Crit 1 item was procured from an unapproved source.
RESOURCE MGT	Green	Jan-02	Jan-03	No issues this period.
MEASUREMENT, ANALYSIS & IMPROVEMENT	Green	Dec-01	Dec-02	No issues this period
MANGEMENT RESPONSIBILITY	Green	Nov-01	Nov-02	No issues this period

Stoplight Chart Instructions

Rows:

1st row: Contractor's name, Assigned Govt. QAS(s) and rating period.

2nd row: Rating definitions.

3rd row: Column titles

Columns:

1st column: Key processes derived from Appendix B, Sample of contractor key process, and contractor specific processes.

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2nd column: Status is assigned following analysis of data gathered during the reporting period (using Q-REX, contractor data, customer feedback, and any other applicable data). The status rating should reflect the current process condition and data should be available to illustrate how the rating was derived, if requested. **Minor** one-time process anomalies or deficiencies should not change process status. Adverse trends or recurring minor deficiencies would be cause for status change and corrective action would be required.

3rd column: Process verification is date of last “full scale” process assessment. NOTE: Current contractors may be “Grandfathered” and re-baselined.

4th column: Process verification due, typically an annual event unless surveillance data indicates need for increased frequency.

5th column: Comments should briefly explain current process status rating, what data was used in determining the status, and any positive or negative changes that have taken place in the process. Changes in the comments block from one report to the next should be made in bold text. A Yellow or Red rating must include the following information:

1. Contractor or Government corrective action.
2. Document type and tracking number.
3. Estimated completion date.

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APPENDIX E

SAMPLE OF LEVEL OF PENETRATION

Level 0

No Penetration

- Accept performing organization's tasks at face value (based on assessment that no penetration is required)
- Contractor develops and implements verification plan

Level 1

Low Penetration

- Participate in reviews and Technical Interchange Meetings and assess only the data presented
- Perform periodic audits on pre-defined process(es)
- Chair board or serve as board member, or RID writer, at a formal review
- Participate in resolution and closure of issues
- Review verification plan and its implementation

Level 2

Intermediate Penetration

- Includes low penetration with addition of daily or weekly involvement to identify and resolve issues
- Review verification plan, its implementation, and selected verification closure data

Level 3

In-depth Penetration

- Includes intermediate penetration with addition of:
 - Methodical review of details
 - Independent models to check and compare vendor data, as required
- Review verification plan, implementation, and concur in all verification closure data

Level 4

Total Penetration

- Perform a complete and independent evaluation of each task
- Independent review of all verification documentation (including closure data) and witness verification testing

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APPENDIX F NASA FED CORRECTIVE ACTION PROCESS

SR&QA Corrective Action Reports (CARs) are to be written for noncompliance to NASA requirements or as implemented by the contractor. Contractors should be provided opportunities to correct minor noncompliances prior to generating verbal or written CARs. Customers may request CARs to be generated by the NASA QAR for noncompliance to technical or contract requirements. When generating CARs, the NASA QAR and delegated agencies shall perform the following:

- Once the NASA QAR has determine a need for a CAR, issuance of CARs should be within 30 calendar days of occurrence of noncompliance or review of process assessments, or when requested.
- Q-REX format shall be used to input CARs and assign tracking numbers. This includes identifying the subject of noncompliance, date, location of nonconformance, short narrative of noncompliance including identifying objective evidence, contractor rep, requirement identified, corrective action ECD, follow-up, and closure date.
- NOTE: Since Q-REX CARs do not have signature blocks for the contractor or the NASA QARs, NASA Audit Forms for external audits may be used to submit to the contractor. However, the data must be entered into Q-REX.
- Prior to submittal to the contractor all CARs require the signed approval of the NASA QAR
- Prior to closure, CARs require the NASA QAR approval.
- The NASA QAR will seek CAR closure approval from affected customers when requested or when the CAR has a direct impact to the customer
- CARs may be submitted electronically to the contractor by the NASA QAR, e-mail record shall suffice as NASA QAR approval
- E-mail notification of the CARs shall be provided to NT mgt. The appropriate affected customer shall be notified.
- Corrective action plans shall be requested within 15-30 days from the contractor with estimated completion dates. It is the responsibility of the contractor to perform remedial action to prevent further noncompliance.
- The QARs shall perform follow-up for effectiveness.
- CARs should be provided to the contractor's designed point-of-contact
- Meetings with the contractors to discuss the CARs are encouraged but not mandatory, unless the contractor requests.
- Disagreements with the contractors and the QARs on the issuance of the CAR, corrective action, missed ECDs, and follow-up, will be elevated to the NASA QAR for resolution. If not resolved, the appropriate NT group lead will be notified for resolution and elevated to the branch, division or directorate, as appropriate for resolution. The NASA QAR may also request support from the affected customers, as required.
- CARs will be reported in weekly activity reports and identified in the monthly spotlight chart.
- Contractor or govt agencies shall follow-up on CARs and report status to the NASA QAR
- NASA SR&QA CAR process will be used inlieu of DCMA CAR processes

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APPENDIX G PROCESS/AUDIT ASSESSMENTS

Process Assessments are an in-depth review of the processes. Once a process is verified, process assessments support NASA continued oversight, hybrid or insight of contractor responsibilities and level of penetration as related to risk. They are used for internal NASA use, however, results of assessments, may be provided to the contractor. They are not to be used to “certify” a contractor as being compliant. Lack of a finding or CAR in a process assessment does not release the contractor from compliance to requirements. Assessment schedules may be adjusted due to issues or other priorities. The NASA QAR will perform the following:

- Approve scheduled process assessments and provide a quarterly listing to the contractor.
- Update the monthly stoplight charts with results of assessments and report completion of assessments in WARs.
- Review audit reports, process assessments from support contractors or delegated government agencies
- NOTE: If a NASA Audit team generates an audit nonconformance record, the data from the audit record will be entered in a Q-REX CAR.
- When requested, provide assessment data to the audit manager and recommend/nonrecommend NASA audits.
- Meet with contractor on assessments, when requested.
- Contractor or govt agencies will document and report to the NASA QAR, results of audits or assessments.
- The QAR will make recommendations to the NASA QAR but it is ultimately the NASA QAR who will make the final determination of acceptability of the report and contractor response.